

eZ-Audit
Use-Case Specification 28: Manage Auditor
Information

Version 2.1

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Use-Case Specification 28: Manage Auditor Information	Date: 01/15/2004
Use Case 28	

Revision History

Date	Version	Description	Author
07/31/2002	1.0	Final version created for 7/31 submission	Matt Portolese
10/14/02	1.1	Revised version created to incorporate item #27 & 28 from Change & Issue Tracking Log	Bobbi Beach
11/14/02	1.2	Updated to remove multiple acknowledgements by user of updated information	Bobbi Beach
05/23/2003	2.0	Revision to reflect 1.0 functionality	Andre Sakaluk
1/15/2004	2.1	Revision to incorporate a left navigation on the Manage Auditor Info page. Release 2.0 was the driving force for this revision.	Kevin Rowland

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Use-Case Specification 28: Manage Auditor Information

1. Manage Auditor Information

1.1 Brief Description

If an institution uses a new auditor for either the financial statements or the compliance audit, they will select the TIN during the submission process. If the TIN is not present already, they will type in the new TIN for the auditor. A change in auditor automatically flags the submission and it is referred to Case. Once the submission reaches Case, the auditor information will need to be entered into the system. The Case team member who works on the submission will be required to enter the information into the system.

2. Flow of Events

2.1 Basic Flow

1) Resolution Actor selects to add auditor information.

The resolution actor clicks on the “Manage Auditor Information” link. link from the left navigation bar. The link will be specific to either a financial auditor or compliance auditor depending on the role of the user. The system retrieves the TIN from the submission information.

2) System presents the add auditor information page.

The user is shown a page with the heading “Add Auditor”. The following text should immediately follow the heading:

“The TIN entered is currently on file with the following information:”

- Firm Name
- Firm Address Line 1
- Firm Address Line 2
- City
- State/Province
- Country
- Zip/Postal Code
- Offic Phone
- Fax

In order to add a new user, the actor selects the “Modify File Info” button.

The system will then display the retrieved TIN in an editable textbox with other Auditor Information. A field called “User another TIN” will be right above the pre-populated TIN button labeled “Search for TIN”. The user enters a new TIN number and clicks on the “Search for TIN” button. The user receives the following message: “The TIN entered “TIN number” is not currently on file. Click “OK” to add information for this Auditor. Textboxes for entering information will be displayed with the appropriate labels for the following information:

- Firm Name
- Firm Address Line 1

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- Firm Address Line 2
- City
- State/Province
- Country
- Zip/Postal Code
- Office Phone
- Fax

Buttons will be displayed with the labels “AddAuditor” and “Reset”.

3) The Resolution Actor adds the new auditor’s information.

The Resolution Actor types in the required fields and clicks on the “Add Auditor button.

4) The System presents the auditor information verification page.

The system displays the following text after the page title:

“Please verify the information entered and click ‘Save’ to confirm the entry and add the new auditor.”

The system then redisplay the information entered on the previous screen in a read-only format. Two buttons are presented at the bottom of the information, a “Save” button and a “Modify” button.

5) The Resolution Actor selects to save the information entered.

The actor clicks on the “Save” button.

6) The system saves the information and presents the submission summary page.

The system displays the submission summary page with the following text:

“The auditor information has been saved.”

2.2 Alternative Flows

2.2.1 The information was entered incorrectly

Steps 1-4 are the same for the alternate flow. Only the following steps will change.

1) The Resolution Actor selects to modify the information entered.

The actor clicks on the “Modify” button.

2) System presents the “Add Auditor” page.

The user is shown a page with the heading “Add Auditor”.. The following text should immediately follow the heading:

“Please update the current auditor information below and click on the “Update Auditor” button when complete”. Fields denoted by an asterisk are required.”

The system will then display the retrieved TIN in an editable textbox. Textboxes for entering information will be displayed with the information previously entered pre-populated. The textboxes and labels will be the same as in Step 2 of the basic flow.

A button will also be displayed with the label “Add Auditor”.

3) The Resolution Actor adds the new auditor’s information.

The Resolution Actor types in the required fields and clicks on the “Update Auditor” button.

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4) The System presents the auditor information verification page.

The system displays the following text after the page title:

“Please update the current auditor information below and click on the “Update Auditor” button when complete. Fields denoted by an asterisk (*) are required.” The system then redisplay the information entered on the previous screen in a read-only format. Two buttons are presented at the bottom of the information, a “Save” button and a “Modify” button.

5) The Resolution Actor selects to save the information entered.

The actor clicks on the “Save” button.

7) The system saves the information and presents the submission summary page.

The system displays the submission summary page with the following text:

“The auditor information has been saved.”

2.2.2 Institution entered TIN incorrectly

Steps 1-2 are the same for the alternate flow. Only the following steps will change.

3) The Resolution Actor changes the TIN entered by the institution.

The Resolution Actor re-types the TIN entered by the institution and clicks the “Search for TIN” button.

4) The system displays a message stating the TIN was not found.

The system refreshes the page with the following message:

“The TIN entered is not currently on file. Click “OK” to add information for this Auditor.”

5) The Resolution Actor adds the new auditor’s information.

The Resolution Actor types in the required fields and clicks on the “Add Auditor” button.

6) The System presents the auditor information verification page.

The system displays the following text after the page title:

“Please verify the information entered and click ‘Save’ to confirm the entry and add the new auditor.”

The system then redisplay the information entered on the previous screen in a read-only format. Two buttons are presented at the bottom of the information, a “Save” button and a “Modify” button.

7) The Resolution Actor selects to save the information entered.

The actor clicks on the “Save” button.

8) The system saves the information and presents the submission summary page.

The system displays the submission summary page with the following text:

“The auditor information has been saved.”

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2.2.3 Case user modifies TIN to TIN on file and uses file information.

Steps 1-2 are the same for the alternate flow. Only the following steps will change.

3) The Resolution Actor changes the TIN entered by the institution.

The Resolution Actor re-types the TIN entered by the institution and clicks the “Search for TIN” button.

4) The system displays a message stating the TIN was found in the system.

The system refreshes the page and retrieves the information for the TIN on file and displays the following message (all fields are pre-populated):

“The TIN entered is currently on file with the following information:

- Firm Name
- Firm Address Line 1
- Firm Address Line 2
- City
- State/Province
- Zip/Postal Code
- Office Phone

- Fax

“Please verify the information entered and click ‘Save’ to confirm the entry and add the new auditor”

Two buttons with the labels “Save” and “Modify file information” are presented at the bottom of the page.

5) The Resolution Actor decides to use the information on file.

The Resolution Actor clicks the “Save” button.

9) The system saves the information and presents the submission summary page.

The system displays the submission summary page with the following text:

“The auditor information has been saved.”

2.2.4 Case user modifies TIN to TIN on file and modifies file information.

Steps 1-2 are the same for the alternate flow. Only the following steps will change.

3) The Resolution Actor changes the TIN entered by the institution.

The Resolution Actor re-types the TIN entered by the institution and clicks the “Search for TIN” button.

4) The system displays a message stating the TIN was found in the system.

The system refreshes the page and retrieves the information for the TIN on file and displays the following message (all fields are pre-populated):

“The TIN entered is currently on file with the following information:

- Firm Name
- Firm Address Line 1
- Firm Address Line 2
- City

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- State/Province
- Country
- Zip/Postal Code
- Office Phone
-
- Fax

Please verify that you wish to use the above auditor information and click “Save” to confirm the entry?”

Two buttons with the labels “Save” and “Modify file information” are presented at the bottom of the page.

5) The Resolution Actor decides to update the information on file.

The Resolution Actor clicks the “Modify File Info” button.

6) System presents the add auditor information page.

The user is shown a page with the heading Add Auditor Information. The following text should immediately follow the heading:

“Please update the auditor information on file for the TIN displayed below. Fields marked with an asterisk are required.”

The system will then display the retrieved TIN as a read-only label. Textboxes for entering information will be displayed with the appropriate labels and will be pre-populated with information on file:

- Firm Name
- Firm Address Line 1
- Firm Address Line 2
- City
- State/Province
- Country
- Zip/Postal Code
- Office Phone
-
- Fax

A button will be displayed with the label “Update Auditor”.

7) The Resolution Actor updates the auditor’s information.

The Resolution Actor types in the required fields and clicks on the “Update Auditor” button.

8) The System presents the auditor information verification page.

The system displays the following text after the page title:

“Please verify the information entered and click ‘Save’ to confirm the entry and update the information on file.”

The system then redisplay the information from the previous screen in a read-only format. Two buttons are presented at the bottom of the information, a “Save” button and a “Modify” button.

9) The Resolution Actor selects to save the information entered.

The actor clicks on the “Save” button.

10) The system saves the information and presents the submission summary page.

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The system displays the submission summary page with the following text:

“The auditor information has been saved.”

3. Special Requirements

3.1 Left Navigation provided on “Manage Audit Info” page

The system will provide a left navigation bar with the “Manage Audit Info” page. The user will have access to this navigation bar at all times when the “Manage Audit Info” page is presented. Contained in this navigation bar will be links to other Resolution options.

4. Preconditions

4.1 Resolution User accesses add auditor functionality from their left navigation.

A resolution user will be able to access the search page from their home page. See extension point – Use Case 15 “Select an Institution” for information on the resolution user home page.

5. Post conditions

5.1 User returns to home page or school summary

The user will do one of two things after performing a search.

- The user will use the search to gather data and will have all necessary information from the table of returned information. In this case, the user will return to their home page.
- The user will review information in the school’s submission. See Extension Point – Use Case 15 “Select an Institution” for the appropriate post-conditions.

6. Extension Points

6.1 Use Case 15 “Select an Institution”

Describes the home page of the resolution user.

7. Requirements

- GEN205 The system will provide fields to capture the Financial Statement Auditor Email Address.
- GEN206 The system will provide fields to capture the Financial Statement Auditor Phone Number.
- GEN207 The system will provide fields to capture the Financial Statement Auditor Fax Number.
- GEN208 The system will prepopulate the Financial Statement Auditor Firm Name with data from the eZ-Audit database.
- GEN209 The system will prepopulate the Financial Statement Auditor TIN with data from the eZ-Audit database.
- GEN210 The system will prepopulate the Financial Statement Auditor Firm Address with data from the eZ-Audit database.
- GEN214 The system will provide fields to capture the Compliance Audit Auditor Email Address.

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- GEN215 The system will provide fields to capture the Compliance Audit Auditor Phone Number.
- GEN216 The system will provide fields to capture the Compliance Audit Auditor Fax Number.
- GEN218 The system will prepopulate the Compliance Audit Auditor TIN with data from the eZ-Audit database.
- GEN209 The system will prepopulate the Financial Statement Auditor TIN with data from the eZ-Audit d database.
- R20282 The system will provide left navigation on the Manage Auditor Info page to provide access to other Resolution options.